

CALTRANS DISTRICT LOCAL ASSISTANCE OFFICES

STATE OF CALIFORNIA
Business Transportation and Housing Agency
Department of Transportation

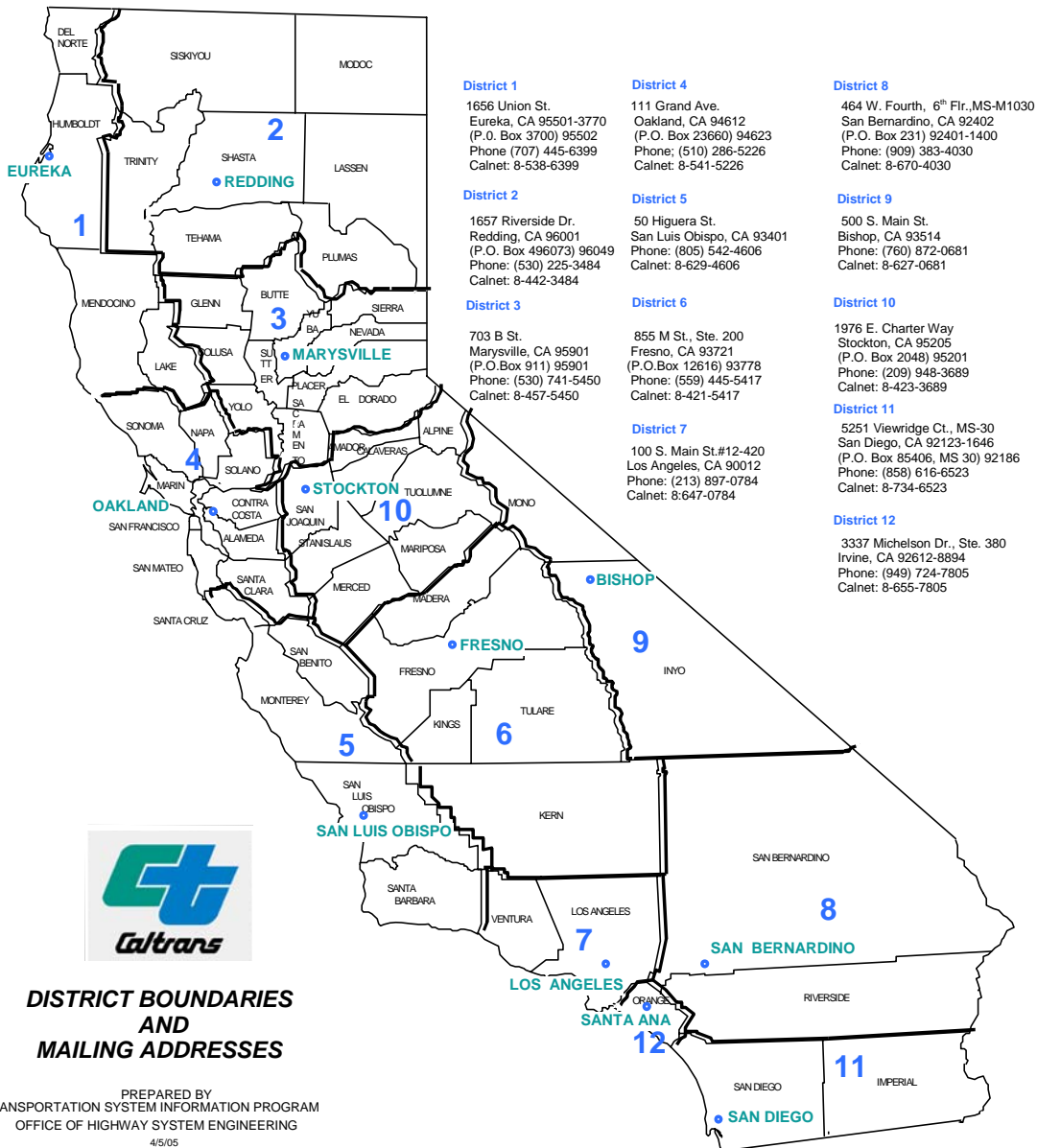


EXHIBIT 2- A CALTRANS DISTRICT LOCAL ASSISTANCE OFFICES

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EXHIBIT 3-B FEDERAL-AID LOCAL ASSISTANCE RESPONSIBILITIES			
ACTIVITY	Projects on the National Highway System (NHS) (Excluding Interstate ¹)	Projects not on the NHS	COMMENTS
	State-Authorized	State-Authorized	
Project Authorizations (Chapter 3)			
Prepare "Request for Authorization"	Local Agency	Local Agency	
Approve "Authorization to Proceed" (E-76) for each project phase	State	State	Authorization must precede any reimbursable activities.
Obligate Funds	FHWA	FHWA	
Agreements (Chapter 4)			
Prepare Agreements	State		
Execute Master Agreement/Program Supplements	Local Agency/State		
Invoices (Chapter 5)			
Prepare Invoices	Local Agency		
Approve Payment	State		
Environmental Procedures (Chapter 6)			
Conduct preliminary investigations and complete Preliminary Environmental Studies form (PES)	Local Agency		
Review and approve Programmatic CE (if applicable)	State		
Conduct and document appropriate technical studies and prepare NEPA document (CE, EA, EIS)	Local Agency		Complete PES and attend early coordination meeting before starting technical studies.
Review environmental documentation and NEPA document Approve Payment	State		
Approve/Process NEPA document and other required Federal environmental documentation	FHWA		

¹ Projects on or impacting the Interstate regardless of funding will require a project-by-project review by FHWA. For these and all projects on state highways, the local agency should coordinate closely with the DLAE and District Project Development Manager to insure that all required authorizations/obligations and other reviews and approvals are obtained in a timely manner and in accordance with state highway development procedures. Early consultation by Caltrans with FHWA will aid in coordination for necessary involvement and needed approvals, if any.

FEDERAL-AID LOCAL ASSISTANCE RESPONSIBILITIES			
ACTIVITY	Projects on the National Highway System (NHS) (Excluding Interstate ¹)	Projects not on the NHS	COMMENTS
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Field Review (Chapter 7)			
Decision to hold Field Review	State (See Comments)	Local Agency	State required Field Reviews limited to high cost, complex, corridor-type NHS projects.
Prepare Field Review Form	Local Agency	Local Agency	
Attend/Sign Field Review Form	Local Agency, State and FHWA	Local Agency	State will (and FHWA may) attend all required NHS Field Reviews, and others when appropriate.
Public Hearings (Chapter 8)			
Decision on Type of Public Hearing	Local Agency		Formal or Open Forum
Approval to circulate EA/EIS	FHWA		Public hearings are held after the EA or Draft EIS has been approved.
Civil Rights & Disadvantaged Business Enterprises (Chapter 9)			
Provide Civil Rights Assurances	Local Agency (In Master Agreement and Program Supplements)		
Complaint Investigations/Contractor Compliance	Local Agency		May be assisted by State
Local Agency Compliance Reviews	State/FHWA		
Approve Local Agency DBE Annual Anticipated DBE Participation Level	State		
Determine/Approve Project DBE Availability Advisory Percentage	Local Agency		
Consultant Selection (Chapter 10)			
Select Consultant and approve contract	Local Agency		
Pre-award audit	State		Limited to Contracts >\$250,000

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Design Standards (Chapter 11)			
Approve Local Design Standards	State	Local Agency	Local agencies shall use Caltrans, AASHTO, or 3R standards for projects on the NHS.
Approve Design Exceptions	State	Local Agency	
Plans, Specifications & Estimate (Chapter 12)			
Approve PS&E Procedures	State	Not required	State approval of PS&E procedures limited to major NHS projects
Approve Exceptions to Competitive Bid Contracts	State	Local agency	
Approve Incidental Force Account Work	State	Local Agency	
Approve use of Proprietary Items	State	Not Required	
Approve Warranty Clauses	State	Not Required	
Prepare and Certify PS&E	Local Agency	Local Agency	
Accept PS&E Certification	State	State	State approval of PS&E procedures required for major NHS projects before State will accept PS&E Certification
Right of Way (Chapter 13)			
Qualify Local Agencies	State	State	
Qualify/Select Consultants	Local Agency		

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EXHIBIT 2-B
Federal-Aid Local Assistance Responsibilities

Local Assistance Procedures Manual

FEDERAL-AID LOCAL ASSISTANCE RESPONSIBILITIES			
ACTIVITY	Projects on the National Highway System (NHS) (Excluding Interstate ¹)	Projects not on the NHS	COMMENTS
	State-Authorized	State-Authorized	
Right of Way (Chapter 13) -continued			
R/W Acquisition/Relocation Assistance	Qualified Local Agency/Consultants		
Certify R/W	Local Agency		
Accept R/W Certification	State		
Approve R/W Certification	N/A	N/A	
Utilities (Chapter 14)			
Approval of Utility Relocation Agreements involving Federal reimbursement	State	State	
Specific Authorization for Utility Relocation involving Federal reimbursement	State	State	
Utility Certification	Local Agency	Local Agency	See R/W Certifications
Advertise & Award Project (Chapter 15)			
Approve Local Agency Construction Administration Procedures	State	Not Required	State approval of procedures limited to major NHS projects.
Local Agency Construction Administration Certification	Local Agency	Local Agency	Not applicable for major NHS projects.
Accept Local Agency Construction Administration Certification	State	State	Not applicable for major NHS projects.
Advertise Project	Local Agency	Local Agency	Authorization to Proceed (E-76) required prior to advertisement

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Advertise&Award Project (Chapter 15) -continued			
Award Project	Local Agency	Local Agency	
Prepare Award Package	Local Agency	Local Agency	Detail Estimate, Finance Letter, Award Checklist, <i>RE Checklist</i> , and Report of DBE Awards
Administer Construction Project (Chapter 16)			
Approve Local Quality Assurance Program	State	Local Agency	Local agencies are required to use Caltrans' approved QAP for projects on the NHS.
Contract Administration and Inspection	Local Agency	Local Agency	
Independent Assurance and Sampling Testing (IAST)	State	Local Agency	
Approve Contract Change Orders	Local Agency	Local Agency	
Project Completion (Chapter 17)			
Accept Contract	Local Agency	Local Agency	
Verify Completion	State	State	
Final Inspection	State/Local Agency	Local Agency	
Final Report of Expenditures	Local Agency	Local Agency	
Maintenance (Chapter 18)			
Maintain projects constructed with Federal-aid funds	State/Local Agency	Local Agency	
Maintenance monitoring	State	State	
Process Reviews (Chapter 19)			
Title 23 Activities	State/FHWA	State/FHWA	
Non-Title 23 Activities	FHWA/State	FHWA/State	NEPA, Uniform Act, etc.

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